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PTO/SB/08B (08-00)

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Substitute for form 1449B/PTC

## INFORMATION DISCLOSURE STATEMENT BY APPLICANT

**Date Submitted:** December 19, 2001

*(use as many sheets as necessary)*

Sheet	1	of	2
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**Complete if Known**

<b>Application Number</b>	09/929,456
<b>Filing Date</b>	August 13, 2001
<b>First Named Inventor</b>	Alain BEGUIN et al.
<b>Group Art Unit</b>	1765
<b>Examiner Name</b>	Unassigned
<b>Attorney Docket Number</b>	064951/0148

**U.S. PATENT DOCUMENTS**

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## FOREIGN PATENT DOCUMENTS

[illegible]

Examiner  
Signature

Binh Tran

Date Considered

10/14/03

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Unique citation designation number. <sup>2</sup>See attached Kinds of U.S. Patent Documents. <sup>3</sup>Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup>For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document.

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 5Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. 6Applicant is to place a check mark here if English language Translation is attached.

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Sheet	2	of	2
		Attorney Docket Number	064951/0148

OTHER PRIOR ART – NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.) date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>6</sup>
BT	A8	Jerry C. CHEN and Corrado DRAGONE, <i>A Proposed Design for Ultralow-Loss Waveguide Grating Routers</i> , IEEE Photonics Technology Letters, March 1998, pp. 379-381, Vol. 10-No. 3.	
BT	A9	S.M. OJHA et al., <i>Simple method of fabricating polarisation-insensitive and very low crosstalk AWG grating devices</i> , Electronic Letters, January 8, 1998, pp. 78-79, Vol. 34-No. 1.	
BT	A10	A. SUGITA et al., <i>Fabrication of Very Low Insertion Loss (~0.8dB) Arrayed-Waveguide Grating With Vertically Tapered Waveguides</i> , NTT Photonics Laboratories, pp. 4-5.	
BT	A11	C. Can DAM et al., <i>Loss reduction for phased-array demultiplexers using a double etch technique</i> , Integrated Photonics Research, Postconference edition, April 29-May 2, 1996, pp. 52-54, Boston, MA, 1996 Technical Digest Series, Vol. 6.	

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Examiner Signature	Binh Tran	Date Considered	10/14/03
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<sup>5</sup>Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup>Applicant is to place a check mark here if English language Translation is attached.

FORM PTO-1449 (MODIFIED)	ATTORNEY DOCKET NO. SP01-112	SERIAL NO. 09/928,456
LIST OF PATENTS AND PUBLICATIONS FOR APPLICANTS INFORMATION DISCLOSURE STATEMENT	APPLICANT Beguin et al.	
#5	FILING DATE 8/13/01	GROUP: 1765

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REFERENCE DESIGNATION U.S. PATENT DOCUMENTS

Examiner Initial	Document Number	Date	Name	Class	Sub-Class	Filing Date If Approp.
AA						
AB						

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FOREIGN PATENT DOCUMENTS

Document Number	Date	Country	Class	Sub-Class	Translation Yes No
AC					
AD					

OTHER ART (Including Author, Title, Date, Pertinent Pages, etc.)

BT	AE	"Fabrication and characteristics of tapered waveguide semiconductor Raman lasers" Suto et al., IEE Proceedings Optoelectronics, Vol 143, No. 2, April 1996, pg. 113-118
BT	AF	"Electrooptic Polymer Modulator Operating in Both TE and TM Modes Incorporating a Vertically Tapered Cladding" Min-Cheol Oh et al., IEEE Photonics Technology Letters, Vol. 9, No. 9, September 1997, pg. 1232-1234
BT	AG	"Integrated Optical Modeshape Adapters in InGaAsP/InP for Efficient Fiber-to-Waveguide Coupling" Brenner et al., IEEE Photonics Technology Letters, Vol. 5, No. 9, September 1993, pg. 1053-1056
BT	AH	"Vertically tapered polymer waveguide mode size transformer for improved fiber coupling" Chen et al., SPIE Optical Engineering, 39(6) 1507-1516, June 2000
BT	AI	InGaAs/InGaAsP Multiple Quantum Well Laser with An Integrated Tapered Beam Expander Waveguide" R. Ben-Michael et al., 14 <sup>th</sup> IEEE International Semiconductor Laser Conference, 1994
BT	AJ	"Sputtered -Magnet Mach-Zehnder Waveguide Isolator" M. Vevy et al., LEOS 1996 9 <sup>th</sup> Annual Meeting IEEE Lasers and Elector-Optics Society
BT	AK	"Efficient coupling into tapered proton-exchanged LiNbO <sub>3</sub> waveguides fabricated by vertically controlled immersion" G. Wang, Optics Letters, Vol 21, No. 1, January 1, 1996, pg. 42-44
BT	AL	"Vertically tapered InGaAsP/InP waveguides for highly efficient coupling to flat-end single-mode fibers", T. Brenner et al., Applied Physics Letters 65(7), 15 August 1994, pg. 798-800
BT	AM	"Vertical InP/InGaAsP Tapers For Low-Loss Optical Fibre-Waveguide Coupling" T. Brenner, Electronics Letters, Vol. 28, No. 22, 22 <sup>nd</sup> October 1992, pg. 2040-2041
BT	AN	"Estimation of waveguide loss of 1.3µm integrated tapered MQW fabricated by selective area MOCVD" A. Kasukawa et al., Electronics Letters, Vol. 32, No. 14 July 4 1996, pg. 1294-1296
BT	AO	"Mode Expanded Optical Switch in Resonant Vertically Coupled Waveguides" S.S. Saini et al., IEEE Photonics Technology Letters, Vol. 11, No. 10, October 1999, pg. 1259-1261
BT	AP	"Rib Waveguide Spot-Size Transformers: Modal Properties" P. Sewell, Journal of Lightwave Technology, Vol. 17, No. 5, May 1999, pg. 848-856
BT	AQ	"Variable Optical Attenuator Based on a Cutoff Modulator with Tapered Waveguides in Polymers" S.S. Lee et al., Journal of Lightwave Technology, Vol. 17, No. 12, December 1999, pg. 2556-2561

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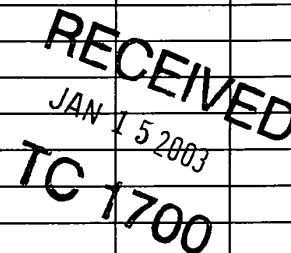
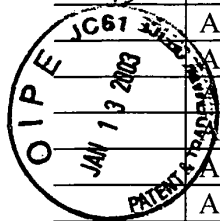
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FORM PTO-1449 (MODIFIED)  LIST OF PATENTS AND PUBLICATIONS FOR APPLICANTS INFORMATION DISCLOSURE STATEMENT	ATTORNEY DOCKET NO.	SERIAL NO.
	SP01-112	09/929456
	APPLICANT LEHUEDE PHILIPPE, et al.	
	FILING DATE 8/13/01	GROUP: 1765

REFERENCE DESIGNATION

U.S. PATENT DOCUMENTS

Examiner Initial		Document Number	Date	Name	Class	Sub-Class	Filing Date if Approp.
BT	AA	4,869,780	9/26/89	Yang et al.	156	643	
	AB						
	AC						
	AD						
	AE						
	AF						
	AG						
	AH						
	AI						
	AJ						
	AK						



FOREIGN PATENT DOCUMENTS

		Document Number	Date	Country	Class	Sub-Class	Translation Yes	No
	AL							
	AM							
	AN							
	AO							
	AP							
	AQ							

OTHER ART (Including Author, Title, Date, Pertinent Pages, etc.)

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